

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

FENIX SECURITIES, LLC

Plaintiff,

**-v-**

AXOS CLEARING LLC (formerly known as  
COR CLEARING LLC)

Defendant.

Case No. 19-CV-03331

**Rule 7.1 Statement**

Pursuant to Federal Rule of Civil Procedure 7.1 [formerly Local General Rule 1.9] and to enable District Judges and Magistrate Judges of the Court to evaluate possible disqualification or recusal, the undersigned counsel for

AXOS CLEARING LLC (a private non-governmental party)

certifies that the following are corporate parents, affiliates and/or subsidiaries of said party, which are publicly held.

AXOS CLEARING LLC's indirect ultimate corporate parent is AXOS FINANCIAL, INC., a publicly traded entity.

**Date:** April 16, 2019

  
Signature of Attorney

**Attorney Bar Code:** JD3868